

OPD

Section III

Preparation and Use of Outpatient Treatment Records

6-7. Preparation

Each contact with the AMEDD as an outpatient will be recorded in the OTR. Periods of treatment as an inpatient will be described on DA Form 3647 or CHCS automated cover sheet and SF 502 and put into the OTR. Inpatient dental treatment will be recorded on SF 603 in the dental record. Participation in research as a human subject will also be fully recorded in the OTR (para 5-16).

a. Preparation and use of SF 600. SF 600 is the basic record form of the medical OTR. It is a chronological record of outpatient visits. For the preparation and use of SF 600, see paragraph 5-16.

b. Preparation and use of SF 601 and PHS Form 731.

(1) SF 601 will be prepared and permanently kept for each person who has an OTR. It will be placed in the OTR when--

- (a) The OTR is initiated.
- (b) The patient next reports for immunization or sensitivity tests.
- (c) Reactions are noted.

(2) PHS Form 731 will be prepared or posted when a patient reports to an MTF for immunizations. Only the following identification information will be entered on PHS Form 731:

- (a) The patient's name on the "Traveler's Name" line.
- (b) The patient's address on the address line.
- (c) The county of the individual's address on its appropriate line.

(3) People preparing SF 601 and PHS Form 731 will ensure that all entries are recorded on both forms and that the forms are current with each other.

(4) Per international rules, entries on PHS Form 731 for immunization against smallpox, yellow fever, and cholera will be authenticated. Each entry must show the DOD Immunization Stamp and the signature of the medical officer or his or her chosen representative. (See AR 40-562/NAVMEDCOMINST 6230.3/AFR 161-13/CG COMDTINST M6230.4D.) For

other entries on PHS Form 731 and all entries on SF 601, the signature block may be stamped or typewritten and initialed by the medical officer.

c. Preparation and use of SF 603. SF 603 is the basic dental treatment form. All dental treatments and all conditions noted on examination will be entered on SF 603. See paragraph 5-17.

d. SF 603A. SF 603A will be used when needed and will be filed on top of the original SF 603. See paragraph 5-17.

e. DA Form 8006-R. DA Form 8006-R will be used for recording the examination, diagnosis, and treatment planning of pediatric dentistry patients. DA Form 8006-R will be locally reproduced on 8 1/2- by 11-inch paper. A copy for reproduction purposes is located at the back of this regulation. Instructions for completing the form are self-explanatory.

f. Preparation of the OTR folder for patients allergic to medications. On the outside front cover of the DA Form 3444-series folder or DA Form 8005-series folder, the "Medical Condition" block will be marked, and DA Label 162 affixed when SF 601, PHS Form 731, or DA Form 3365 is prepared. (See chap 15 of this regulation and AR 40-562/NAVMEDCOMINST 6230.3/AFR 161-13/CG COMDTINST M6230.4D.)

g. Obstetrical cases. A pregnancy diagnosis will be entered on SF 600. After the pregnancy, all forms related to it will be filed in the ITR. When the records are filed, the following information will be entered on SF 600: "Prenatal care records filed in ITR of (patient's name, FMP, and SSN), (location of MTF), and (date)." If the patient does not return for prenatal care and/or hospitalization, a notation will be made on SF 533 (Medical Record--Prenatal and Pregnancy), which will be filed in the OTR.

h. Civilian consultation service case files (mental health). When outpatient treatment is recorded in civilian consultation service case files, the following notation will be made on SF 600: "Patient seen, refer to file number 40-216b" (civilian consultation service case). (See AR 25-400-2 and table 2-1 of this regulation.)

6-8. Use

The OTR will be given to physicians, dentists, and other medical personnel attending an outpatient or inpatient. When an outpatient is to be treated over a short period in a clinic, the OTR may be kept in that clinic; however, it will be made available to other medical or dental personnel when required during this period. Furthermore, the OTR will accompany a patient admitted to a military MTF and will be constantly available for use by the attending physician.

a. Chargeout system. A strict audit trail will be kept for OTRs temporarily out of the file. Use of an automated record tracking system is encouraged. (See para 4-6.)

b. Protection of medical information. See chapter 2.

Until a new four-part folder is fully assimilated into the system (see fig 6-2), the following order will be used for forms in the old DA Form 3444-series jackets for OTRs (not dental).

All forms should be filed in an upright position on both sides of the folder.

LEFT SIDE OF FOLDER

DA Form 4186

Medical Recommendation for Flying Duty. (See AR 40-501 and para 5-19b(6) of this regulation.)

DA Form 3180-R

Personnel Screening and Evaluation Record. (See AR 50-5, AR 50-6, and para 5-19b(8) of this regulation.)

DA Form 5571¹

Master Problem List. (See para 5-10.)

DA Form 5862-R

Army Exceptional Family Member Program Medical Summary. Filed directly below DA Form 5571. (See AR 600-75, chap 3, and para 6-2g of this regulation.)

DA Form 5291-R

Army Exceptional Family Member Program Educational Summary. (See AR 600-75 and para 6-2g of this regulation.)

DA Form 5288

Army Exceptional Family Member Program Medical Summary. When available, DA Form 5288 replaces either DA Form 5862-R or DA Form 5291-R, or both. (See AR 600-75 and para 6-2g of this regulation.)

Civilian source pediatric growth charts. (See para 6-2d.)

DA Form 5694¹

Denver Developmental Screening Test. (See para 6-2e of this regulation.)

SF 601^{1,2}

Health Record--Immunization Record. (See paras 5-17 and 6-7.)

SF 512¹

Clinical Record--Plotting Chart. (See para 5-13.)

SF 545²

Laboratory Report Display. File with SF 546 through SF 557 mounted. (See para 8-18).
Instructions for completing SF 545 are provided in tables 8-1 and 8-2.

SF 519^{1,2}; SF 519A^{1,2}

Medical Record--Radiographic Report. (See para 8-20.) SF 519 and SF 519A are obsolete; use for file purposes only.

SF 519-B¹

Radiologic Consultation Request/Report. (See para 8-20.)

OF 520¹

Clinical Record--Electrocardiographic Record. Reports of electrocardiograph examinations with adequate representative tracings should be attached to the back of OF 520 or on another attached sheet of paper. CAPOC or other automated tracings should be filed here.

SF 560¹

Medical Record--Electroencephalogram Request and History (formerly DA Form 4530). SF 560 is obsolete; use for file purposes only.

DA Form 2631-R

Medical Care--Third Party Liability Notification. (See chap 14.)

DD Form 2569

Third Party Collection Program--Insurance Information. (See chap 14.)

DA Form 3647

Inpatient Treatment Record Cover Sheet (or CHCS automated cover sheet). File with it a copy of SF 502 (if prepared), SF 515, SF 516, and SF 509. Include here for newborns a copy of SF 535 (Clinical Record--Newborn)¹. Also file here AF Form 565 (Record of Inpatient Treatment), NAVMED 6300-5 (Admission/Disposition Record, Inpatient), or DD Form 1380 (formerly DA Form 8-27). (See AR 40-400 and paras 3-12a(1), 3-13b, 3-17a, 3-18b, 5-2a, 5-19a, 6-7, 8-7, 8-12, 8-13, 8-14, 8-15, 8-16, and 9-2.)

DA Form 5006-R¹

Medical Record--Authorization for Disclosure of Information. (See para 2-3.)

DA Form 5303-R

Volunteer Agreement Affidavit. (See AR 40-38 and para 6-2h of this regulation.)

DA Form 3365

Authorization for Medical Warning Tag. File on left side when new folders are started. (See chap 15.)

Administrative documents and other correspondence including advance directives (durable power of attorney for health care, living will, etc.).

RIGHT SIDE OF FOLDER

DA Form 4515

Personnel Reliability Program Record Identifier. (See AR 50-5 or AR 50-6, and paras 5-19b(8) and 5-29c of this regulation.)

SF 600^{1,2}; SF 558^{1,2}; SF 513¹; DD Form 2161¹

Health Record--Chronological Record of Medical Care; Emergency Care and Treatment; Medical Record--Consultation Sheet; Referral for Civilian Medical Care. (See para 8-10.) Also file here any other basic chronological medical care records, for example, SF 558 and AMOSIST local encounter forms. (See paras 5-14 and 5-16.)

State ambulance forms (filed behind corresponding SF 558). (See para 5-19b(7).)

Home Health Care documentation.

DD Form 2493-1

Asbestos Exposure Part I--Initial Medical Questionnaire. (See AR 40-5 and para 5-19b (9) of this regulation.)

DD Form 2493-2

Asbestos Exposure Part II--Periodic Medical Questionnaire. (See AR 40-5 and para 5-19b (9) of this regulation.)

DA Form 5568-R¹

Chronological Record of Well-Baby Care. (See para 6-2f.)

DA Form 3763

Community Health Nursing--Case Referral. (See para X-X.)

DA Form 5569-R¹

Isoniazid (INH) Clinic Flow Sheet. (See para 5-8.)

DA Form 4530

Electroencephalogram Request and History. (See SF 560.) DA Form 4530 is obsolete; use for file purposes only.

DA Form 4700¹

Medical Record--Supplemental Medical Data. (See chap 3.)

DA Form 5008

Telephone Medical Advice/Consultation Record. Attach to and file with SF 600. (See para 5-6 for completion instructions.)

SF 512¹

Clinical Record--Plotting Chart. (See para 5-13.)

OF 522¹ or State mandated form

Medical Record--Request for Administration of Anesthesia and Performance of Operations and Other Procedures.

SF 559¹

Medical Record--Allergen Extract Prescription, New and Refill. (See para 5-15.)

DD Form 2482¹

Venom Extract Prescription. (See para 5-12.)

DA Form 5007A-R¹; DA Form 5007B-R¹

Medical Record--Allergy Immunotherapy Record--Single Extract; Medical Record--Allergy Immunotherapy Record--Double Extract. (See para 5-5.)

Other SF 500-series forms.

File in numerical sequence.

DD Form 741¹

Eye Consultation.

DD Form 771-1

Eyewear Prescription/Eyewear Prescription--Plastic Lenses. DD Form 771-1 is obsolete; use for file purposes only.

DD Form 2215¹

Reference Audiogram.

DD Form 2216

Hearing Conservation Data. (See AR 40-5.)

Reports or certificates prepared by neuropsychiatric consultation services.

Correspondence on hearing aids.

Medical documents from civilian sources.

DA Form 4465-R

Patient Intake/Screening Record. Also file here any other authorized alcohol and drug forms. (See AR 600-85 and paras 5-19b(4) and 7-9 of this regulation.)

DA Form 4410-R

Disclosure Accounting Record. DA Form 4410-R is preprinted on DA Form 3444-series folders and DA Form 8005-series folders. The separate DA Form 4410-R is obsolete; use for file purposes only.

DD Form 2005

Privacy Act Statement--Health Care Records. Include when preprinted DA Form 3444-series folders are not used. (See para 4-4 of this regulation.)

Notes:

- ¹ Instructions for completing this form are self-explanatory.
- ² This form must be included in all OTRs.

All forms should be filed in an upright position on both sides of the folder.

PART I

DA Form 5571^{1,2}

Master Problem List. DA Form 5571 is always the top form. (See para 5-10.)

DA Form 5862-R

Army Exceptional Family Member Program Medical Summary. (See AR 600-75 and para 6-2g of this regulation.)

DA Form 5291-R

Army Exceptional Family Member Program Educational Summary. (See AR 600-75 and para 6-2g of this regulation.)

DA Form 5288

Exceptional Family Member Program Summary Report. When available, DA Form 5288 replaces either DA Form 5862-R and DA Form 5291-R, or both. (See AR 600-75 and para 6-2g of this regulation.)

Civilian source pediatric growth charts. (See para 6-2d.)

DA Form 5694²

Denver Developmental Screening Test. (See para 6-2e of this regulation.)

DD Form 1141; ADR

Record of Occupational Exposure to Ionizing Radiation; Automated Dosimetry Record. (See AR 40-14/DLAR 1000.28 and para 5-19b(5) of this regulation.)

DD Form 2493-1

Asbestos Exposure Part I--Initial Medical Questionnaire. (See AR 40-5 and para 5-19b(9) of this regulation.)

DD Form 2493-2

Asbestos Exposure Part II--Periodic Medical Questionnaire. (See AR 40-5 and para 5-19b(9) of this regulation.)

SF 601^{1,2}

Health Record--Immunization Record. (See paras 5-17 and 6-7.)

SF 512²

Clinical Record--Plotting Chart. (See para 5-13.)

Automated laboratory report forms. File like forms in reverse chronological order.

SF 545¹

Laboratory Report Display (formerly SF 514). (See para 8-18.) Instructions for completing this form are provided in tables 8-1 and 8-2.

SF 546; SF 547; SF 548; SF 549; SF 550; SF 551; SF 552; SF 553; SF 554; SF 555; SF 556; SF 557

Chemistry I; Chemistry II; Chemistry III (Urine); Hematology; Urinalysis; Serology; Parasitology; Microbiology I; Microbiology II; Spinal Fluid; Immunohematology; Miscellaneous. Attach to SF 545 in reverse chronological order. (See para 8-18.) Instructions for completing these forms are provided in tables 8-1 and 8-2.

SF 519^{1,2}; SF 519A^{1,2}

Medical Record--Radiographic Report. (See para 8-20. SF 519 and SF 519A are obsolete; use for file purposes only.)

SF 519-B²

Radiologic Consultation Request/Report. (See para 8-20.)

OF 520²

Clinical Record--Electrocardiographic Record. Reports of electrocardiograph examinations with adequate representative tracings should be attached to the back of OF 520 or on another attached sheet of paper. CAPOC or other automated tracings should be filed here.

SF 524²

Medical Record--Radiation Therapy.

SF 525²

Medical Record--Radiation Therapy Summary.

SF 526²

Medical Record--Interstitial/Intercavitary Therapy.

SF 541²

Medical Record--Gynecologic Cytology.

SF 560²

Medical Record--Electroencephalogram Request and History (formerly DA Form 4530). SF 560 is obsolete; use for file purposes only.

DD Form 2482²

Venom Extract Prescription. (See para 5-12.)

SF 559²

Medical Record--Allergen Extract Prescription, New and Refill. (See para 5-15.)

DA Form 5007A-R²; DA Form 5007B-R²

Medical Record--Allergy Immunotherapy Record--Single Extract; Medical Record--Allergy Immunotherapy Record--Double Extract. (See para 5-5.)

DA Form 5551-R

Spirometry Flow Sheet. (See TB MED 509.)

DA Form 4060

Report of Optometric Examination. This form is obsolete; use for file purposes only.

DD Form 741²

Eye Consultation.

DD Form 771

Eyewear Prescription. (See AR 40-63/NAVMEDCOMINST 6810.1/AFR 167-3 and para 5-19b (2) of this regulation.)

DD Form 2215²

Reference Audiogram.

DD Form 2216

Hearing Conservation Data. Also file any correspondence on hearing aids. (See AR 40-5.)

PART II

DA Form 4515

Personnel Reliability Program Record Identifier. (See AR 50-5 or AR 50-6, and para 5-19b(8) of this regulation.)

DA Form 3180-R

Personnel Screening and Evaluation Record. (See AR 50-5, AR 50-6, and para 5-19b(8) of this regulation.)

DA Form 4186

Medical Recommendation for Flying Duty. (See AR 40-501 and para 5-19b(6) of this regulation.)

Documents and correspondence on flying status, that is, restrictions, removal of restrictions, suspensions, and termination of suspensions.

Interfile the following nine forms in reverse chronological order--most recent visit on top.

SF 600^{1,2}

Health Record--Chronological Record of Medical Care. (See para 5-16.)

DA Form 5008

Telephone Medical Advice/Consultation Record. Attach to and file with SF 600 in chronological order. (See para 5-6 for completion instructions.)

SF 558²

Emergency Care and Treatment. Interfile with SF 600 in chronological order. (See para 5-14.)

State ambulance forms. File behind corresponding SF 558. (See para 5-19b(7).)

DA Form 3824²

Urologic Examination.

DA Form 5181-R²

Screening Note of Acute Medical Care. (See para 5-7.)

DA Form 5568-R²

Chronological Record of Well-Baby Care. (See para 6-2f.)

SF 513²

Medical Record--Consultation Sheet. (See para 8-10.)

DD Form 2161

Referral for Civilian Medical Care. (See AR 40-5.)

SF 602

Health Record--Syphilis Record. (See paras 5-19b(10) and 5-24.)

DA Form 3763

Community Health Nursing--Case Referral. (See para X-X.)

Home Health Care documentation.

DA Form 5569-R²

Isoniazid (INH) Clinic Flow Sheet. (See para 5-8.)

Other SF 500-series forms

File in numerical sequence with like form numbers together in reverse chronological order.

SF 527²

Group Muscle Strength, Joint R.O.M. Girth and Length Measurements.

SF 528²

Clinical Record--Muscle and/or Nerve Evaluation--Manual and Electrical: Upper Extremity.

SF 529²

Medical Record--Muscle Function by Nerve Distribution: Trunk and Lower Extremity.

DA Form 4700²

Medical Record--Supplemental Medical Data. When DA Form 4700 is used, it should be referenced on SF 600. Undersized reports should be mounted on DA Form 4700 display sheets and filed with reports to which they most closely relate. (See chap 3.)

SF 517²

Clinical Record--Anesthesia. Outpatient surgery only. (See para 8-10.)

OF 522² or State mandated forms

Medical Record--Request for Administration of Anesthesia and for Performance of Operations and Other Procedures. (All other special consent forms.) (See para 3-3.)

SF 518²

Medical Record--Blood or Blood Composition Transfusion.

SF 88¹

Report of Medical Examination. (See AR 40-501 and paras 5-6, 5-19, and 5-23 of this regulation.)

SF 93¹

Report of Medical History (formerly SF 89). File here any other medical history form. (See AR 40-501 and paras 5-19 and 5-23 of this regulation.)

DA Form 4970-E

Medical Screening Summary--Cardiovascular Risk Screening Program. (See AR 40-501.)

DA Form 4465-R

Patient Intake/Screening Record. Also file here any other authorized alcohol and drug forms. (See AR 600-85 and paras 5-19b(4) and 7-9 of this regulation.)

PART III

DA Form 2631-R

Medical Care--Third Party Liability Notification. (See chap 14.)

DD Form 2569

Third Party Collection Program--Insurance Information. (See chap 14).

DA Form 3349

Physical Profile (formerly DA Form 8-274). Also file here any correspondence on a revision of physical profile serials. (See AR 40-501 and para 5-19b(3) of this regulation.)

DA Form 3365

Authorization for Medical Warning Tag. (See chap 15.)

DA Form 4254-R²

Request for Private Medical Information. (See para 2-3.)

DA Form 4876-R²

Request and Release of Medical Information to Communications Media. (See para 2-3.)

DA Form 5006-R²

Medical Record--Authorization for Disclosure of Information. (See para 2-3.)

DA Form 5303-R

Volunteer Agreement Affidavit. (See AR 40-38 and para 6-2h of this regulation.)

Correspondence on release of medical information.

Other administrative documents important enough to keep on file, including advance directives (durable power of attorney for health care, living will, etc.).

DA Form 4410-R¹

Disclosure Accounting Record. DA Form 4410-R is printed on the folder. The separate form is obsolete; use for file purposes only.

PART IV

Group³ copies of the following forms by hospitalization episode, with most recent on top.

DA Form 3647³

Inpatient Treatment Record Cover Sheet (or automated replacement) (formerly DA Form 8-275-series and DD Form 481-series). File it with a copy of SF 502 (if prepared), SF 515, SF 509, and SF 516. Also file here AF Form 565, NAVMED 6300-5, DD Form 1380 (formerly DA Form 8-27), or any other narrative summaries from the VA, Public Health Service, or other Government MTF. (See AR 40-400 and paras 3-12a(1), 3-13b, 3-17a, 3-18b, 5-2a, 5-19a, 6-7, 8-7b, 8-12, 8-13, 8-14, 8-15, 8-16, and 9-2 of this regulation.)

OF 275³

Medical Record Report. File in order of the number of the form it replaces. (See para 3-3.)

SF 502³

Clinical Record--Narrative Summary. (See para 8-10.)

DD Form 539²

Medical Record--Abbreviated Medical Record. (See para 8-17.)

SF 509³

Medical Record--Progress Notes. SF 509 is the final discharge note. (See para 8-10.)

SF 515³

Medical Record--Tissue Examination. (See paras 5-2 and 5-19.)

SF 516³

Medical Record--Operation Report. (See para 8-10.)

SF 518²

Medical Record--Blood or Blood Component Transfusion. Outpatient only.

SF 531²

Clinical Record--Anatomical Figure.

SF 533²

Medical Record--Prenatal and Pregnancy. File here any forms belonging to pregnancy episode not delivered in MTF. (See para 6-7.)

SF 535²

Clinical Record--Newborn.

Copies of civilian treatment facilities records.³

DD Form 2005¹

Privacy Act Statement--Health Care Records. DD Form 2005 is always the bottom form or is printed on the folder. (See AR 40-2 and para 4-4 of this regulation.)

¹ This form must be included in all OTRs.

² Instructions for completing this form are self-explanatory.

³ These forms will usually be copies of inpatient forms, except for SF 533 when patient is not admitted to the MTF for delivery.

All forms should be filed in an upright position on both sides of the folder.

LEFT SIDE OF FOLDER

DA Form 5570^{1,2}

Health Questionnaire for Dental Treatment. DA Form 5570 is printed on the radiograph storage envelope. Radiographs will be stored in the envelope. (See paras 5-9 and 5-25.)

Other radiographs too large to be included in the DA Form 5570 envelope.

RIGHT SIDE OF FOLDER

SF 603¹

Health Record--Dental. File in reverse chronological order with original SF 603 on the bottom. Also file here SF 603A when needed as a continuation of section III (Attendance Record) of SF 603. (See para 5-18 for instructions on completing SF 603 and SF 603A. Also see para 6-7.)

DA Form 4700

Medical Record--Supplemental Medical Data. (See chap 3.)

DA Form 8006-R²

Pediatric Dentistry Diagnostic Form. (See para 6-7e.)

DA Form 3984

Dental Treatment Plan. (See TB MED 250.)

SF 513²

Medical Record--Consultation Sheet. (See para 8-10.)

SF 519²; SF 519A²

Medical Record--Radiographic Report. (See para 8-20. SF 519 and SF 519A are obsolete; use for file purposes only.)

SF 519-B²

Radiographic Consultation Request/Report. (See para 8-20.)

SF 521

Clinical Record--Dental. This form is obsolete; use for file purposes only.

OF 522² or State mandated forms

Medical Record--Request for Administration of Anesthesia and for Performance of Operations and Other Procedures. (See para 3-3.)

DA Form 8-115

Register of Dental Patients. This form is obsolete; use for file purposes only.
Other medical or dental records important to the patient's care.

DA Form 4410-R¹

Disclosure Accounting Record. DA Form 4410-R is printed on the folder. The separate form is obsolete; use for file purposes only.

DD Form 2005¹

Privacy Act Statement--Health Care Records. DA Form 2005 is always the bottom form or is printed on the folder. (See AR 40-2 and para 4-4 of this regulation.)

¹ This form must be included in all nonmilitary dental records.

² Instructions for completing this form are self-explanatory.

Chapter 6.1

Occupational Health Program Civilian Employee Medical Record

Section I

General

6.1-1. Other regulations

The initiation, maintenance and disposition of CEMRs will also meet the requirements of DODI 6055.5, the Occupational Safety and Health Administration (OSHA) (29 CFR 1910 and 29 CFR 1960), and the Office of Personnel Management (OPM) (Federal Personnel Manual (FPM) Supplement 293-31).

6.1-2. Definition and purpose of the civilian employee medical record

a. The CEMR is defined as a chronological, cumulative record of both occupational and nonoccupational information about health status developed on an employee during the course of employment. It includes personal and occupational health histories, exposure records, medical surveillance records, Office of Workers' Compensation Programs (OWCP) records, and the written opinions and evaluations generated by health care providers in the course of examinations, treatment, and counseling.

b. The purpose of the CEMR is to provide a complete medical and occupational exposure history for employee care, medicolegal support, research, and education.

6.1-3. For whom prepared

A CEMR will be prepared for each permanent civilian employee upon employment. A medical record will also be prepared for all nonpermanent employees who receive any type of occupational health services.

6.1-4. Civilian medical employee records folder and forms

a. The CEMR may be maintained either in the terminal digit filing system DA Form 3444-series or the SF 66D during the course of employment. When the DA Form 3444-series are used, they will be prepared and filed according to chapter 4. When the SF 66D folders are used, they will be filed alphabetically by last name. The name (last, first, M.I.), date of birth, and social security number (SSN) of the employee will be typed on a label and affixed to the SF 66D on the indicated space on the folder. Ensure the civilian employee completes a separate DD Form 2005 regardless of the type folder used. The employee does not need to complete the preprinted DD Form 2005 on the inside of the folder when the DD Form 3444-series is used.

b. The forms authorized for use in CEMRs are listed in figure 6.1-1 below. These forms will be filed from top to bottom in the order they are listed in the figure. Copies of the same form will be grouped and filed in reverse chronological order (the latest on top). Specialized occupational health forms may be maintained in CEMRs, but must have prior approval by the supporting MEDDAC/MEDCEN (chap 3, sec I). When it is necessary to use a DD form, DA form, or SF that is not listed in figure 6.1-1 but is listed in this regulation, file it in the order listed in the relevant figure of chapter 5 or chapter 6.

(1) SF 78 (U.S. Civil Service Commission, Certificate of Medical Examination) will be used to record preemployment physical examination results for appropriated fund (AF) employees, and may be used to record periodic job-related physical examination results. Parts A, B, and C of the SF 78 are authorized for filing in the CEMR and parts D, E, and F are forwarded to the Civilian Personnel Office (CPO).

(2) DA Form 3437 (Nonappropriated Funds (NAF), Certificate of Medical Examination), will be used to record preemployment physical examination results for NAF employees and may be used to record periodic job-related physical examination results. DA Form 3437 is authorized for filing in the CEMR.

(3) DA Form 5571 (Master Problem List) provides a summary of known past and current diagnoses or problems, and currently or recently used medications.

(4) DA Form 5931 (Occupational Health Patient Form) is an encounter form completed for each visit to the occupational health service or clinic. This form includes purpose of visit, services provided, primary diagnosis if applicable, and disposition of the patient/employee. Use of this form in the CEMR is optional.

(5) AEHA Form 281-E, 1 November 1987 (TEST) (Occupational Health Summary) is a computerized form generated by the Medical Information Module of the Occupational Health Management Information System and is authorized for filing in the CEMR. This form includes limited demographic information and summary of past medical surveillance data, work place exposures, and recommended medical surveillance.

(6) DD Form 1141 or ADR is used to record results of all personal monitoring, to include film badge readings for each person occupationally exposed to ionizing radiation. DD Form 1141 or ADR is a medical record and is filed in the CEMR (para 5-17b(6) and AR 40-14/DLAR 1000.28).

(7) DA Form 4515 (Personnel Reliability Program Record Identifier) and DA Form 3180-R (Personnel Screening and Evaluation Record) are used according to AR 50-5 and AR 50-6 to identify and evaluate all individuals working in the nuclear or chemical surety programs.

(8) DA Form AAAA-1 (Occupational, Family and Personal Health History, Part I--Initial History) is used to collect important history data that is not included in any other form. All employees (civilian and military) enrolled in a job-related medical surveillance program will complete this form as a baseline initially, or the first time they are seen after the form becomes available. After a one-time completion of Part I, DA Form AAAA-2 (Occupational, Family and Personal Health History, Part II--Periodic Update) will be completed during periodic medical surveillance, usually annually. The SF 93 (Report of Medical History) is also used to obtain a general medical history when a civilian employee is seen initially and is reviewed and updated on subsequent visits to the Occupational Health Service for job-related medical surveillance or other purposes as required.

(9) Copies of the following OWCP medical forms are authorized to be maintained in the CEMR:

(a) DOL Form CA-16 (Authorization for Examination and/or Treatment).

(b) DOL Form CA-17 (Duty Status Report).

(c) DOL Form CA-20 (Attending Physicians Report).

(d) DOL Form CA-20a (Attending Physicians Supplemental Report).

(10) In addition, a copy of DOL Form CA-1 (Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation) is maintained in the CEMR when the employee files a claim with OWCP for an occupational traumatic injury, but the original DOL Form CA-1 is placed in the medical record if a claim is not filed. A copy of DOL Form CA-2 (Federal Employee's Notice of Occupational Disease and Claim for Compensation) is authorized to be maintained in the CEMR when the employee is claiming an occupational disease (FPM, Chapter 810, and FPM Supplement 293-31).

Section II

Maintaining, Transferring and Disposing of Civilian Employee Medical Records and Retention of Job-Related X-Ray Films

6.1-5. Custody and maintenance of civilian employee medical records

The MTF commander is the official custodian of all medical records at his or her facility including CEMRs. The Chief, Patient Administration Division, of an MTF will act for the commander to handle medical records. The CEMRs will usually be maintained in the outpatient record room of the MTF when the occupational health service/clinic is collocated with a hospital. The CEMRs will be maintained in the U.S. Army Health Clinic or Occupational Health Clinic or Occupational Health Nursing Office when the clinic is not collocated with a hospital.

6.1-6. Medical record entries

Medical record entries in the CEMR will be according to paragraph 3-5.

6.1-7. Recording occupational injuries and illnesses

a. Record all injury or illness incurred as the result of performance of duty for military and civilian personnel. Identify the injury or illness as "occupational." The recording of an occupational injury must include the details below.

- (1) The exact nature of the injury.
- (2) The part or parts of the body affected.
- (3) The external causative agent. In the case of acute poisoning, the poison must be named.
- (4) How the injury occurred.
- (5) The place where injured. State the building and/or area.
- (6) The date of the injury.

b. For the recording of injuries or diseases caused by chemical or bacteriological agents or by ionizing radiation, see paragraph 3-13c.

6.1-8. Cross-coding of medical records

Civilian employees who are also military medical beneficiaries will have two medical records, the CEMR and the OTR. These records will be cross-coded to identify the dual status, to

facilitate care, and to ensure appropriate identification and reporting of occupational illnesses and injuries.

6.1-9. Transferring and retiring civilian employee medical records

The CEMR of an employee transferring to another Federal agency or separating from Federal service will be forwarded to the CPO in the SF 66D within 10 days of transfer or separation (AR 25-400-2). The CPO will forward the CEMR of the transferring employee to the gaining agency and will forward the CEMR of the separating employee to the National Personnel Records Center (NPRC).

6.1-10. Retention of job-related x-ray films

a. Legal and regulatory requirements dictate that x-ray films performed for exposure to work place hazards must be preserved and maintained for at least the duration of employment plus 30 years, or for 40 years, whichever is greater (29 CFR 1910.20; FPM Supplement 293-31; and DODI 6055.5).

b. Civilian employee x-ray films performed for exposures to work place hazards are part of the CEMR. X-ray films 8 1/2- by 11 inches or smaller will fit within the CEMR file folder and will be transferred to another Federal employing agency or retired with the medical record. Oversized chest/torso x-ray films cannot fit into the CEMR and will not be sent with the record to storage; however, they will be sent with the CEMR to a new Federal employing agency. When the CEMR is sent to storage, oversized films must be retained in their original state by the last MTF that provided occupational health services to the employee until such time as they may be destroyed (a above). Radiographic results will be included in the CEMR and a notation will be entered on the SF 600 and include the location of any film not present in the record and how it can be obtained. A microfiche copy of any type x ray except chest may be placed in the CEMR instead of the original x ray.

c. All x-ray films taken for medical surveillance purposes on soldiers exposed to toxic substances or harmful physical agents in their work environment will be transferred in their original state along with their health record to the new duty station MTF. Transfer of x rays will be handled according to instructions on transferring x rays in paragraph 6-4d.

d. X-ray films that are 8 1/2- by 11 inches or smaller that were taken for medical surveillance purposes on soldiers exposed to toxic substances or harmful physical agents in their work environment will be retired to the NPRC with the individual's health record. Oversized chest/torso x-ray films taken for exposure to work place hazards will not be sent to the NPRC when service is terminated. Instead, they will be retained in their original state by the MTF at the last duty station. A notation will be placed on the SF 600 and will include the x ray findings, where the film is located, and how it can be obtained. These x rays must be retained for the duration of military service plus 30 years, or for 40 years, whichever is greater.

Section III

Confidentiality of Medical Information, Access to Civilian Employee Medical Records, and Quality Assurance

6.1-11. Protection of confidentiality and disclosure procedures

a. All medical records will be treated as privileged information. Guidance in chapter 2 will be followed in protection of confidentiality of medical information and usual disclosure procedures. Also refer to FPM Supplement 293-31, paragraph S6-4. In addition, OSHA rules 29 CFR 1910.2 and 1913.10d provide for access by the employee or his or her representative as designated in writing, and by OSHA representative (compliance officers and National Institute for Occupational Safety and Health personnel) to examine or copy medical records or medical information that bears directly on the employee's exposure to toxic materials and harmful physical agents. The employee or his or her designated representative must be provided one copy of this data upon request without cost to the employee or his or her representative. The information must be provided within 15 working days.

b. Workers' compensation claims directly involve the employer and all facts relevant to the case become the concern of management. All medical records relating to the injury, illness, or death of an employee entitled to Federal Employee Compensation Act benefits are the official records of the OWCP and are not the records of any agency having the care or use of such records. For all OWCP cases that are treated by a physician, a medical report is required. This report may be made on DOL Forms CA-16, CA-17, CA-20, or CA-20a; a narrative report on the physician's letterhead stationary; or in the form of an emergency room summary. A copy of these reports is maintained in the CEMR (FPM, Chapter 810 and FPM Supplement 293-31).

c. When required, with the knowledge and permission of the employee, an interpretation of medical findings may be given to the CPO or responsible management personnel to assure safe and effective use of manpower.

6.1-12. Civilian employee medical record quality assurance

CEMRs will be included in the patient administration division quality assurance program. Medical records will be reviewed for accuracy, timeliness, completeness, clinical pertinence, and adequacy as medico-legal documents. All guidance and standards in paragraph 9-3 that are applicable to the CEMR will be used in this review.

All forms should be filed in an upright position on both sides of the folder.

LEFT SIDE OF FOLDER

DA Form 5571

Master Problem List (always top form).

DA Form 3180-R

Personnel Screening and Reliability Record. (See AR 50-5 and AR 50-6.)

DA Form 4186

Medical Recommendation for Flying Duty.

Documents and correspondence on flying status; that is, restrictions, removal of restrictions, suspensions, and termination of suspensions.

DD Form 1141; ADR

Record of Occupational Exposure to Ionizing Radiation; Automated Dosimetry Record.

DD Form 2493-1

Asbestos Exposure--Part I--Initial Medical Questionnaire.

DD Form 2493-2

Asbestos Exposure--Part II--Periodic Medical Questionnaire.

SF 601

Health Record--Immunization Record.

SF 512

Clinical Record--Plotting Chart.

Automated laboratory report forms. File like forms in reverse chronological order.

SF 545

Laboratory Report Display.

SF 546 through SF 557

Attach to SF 545 in reverse chronological order.

SF 519; SF 519A

Medical Record--Radiographic Report. SF 519 and SF 519A are obsolete; use for file purposes only.

SF 519B
Radiographic Consultation Request/Report.

OF 520
Clinical Record--Electrocardiographic Record. Reports with adequate representative tracings should be attached to the back of this form or on another sheet of paper.

DA Form 5551-R
Spirometry Flow Sheet.

DA Form 4060
Report of Optometric Examination. DA Form 4060 is obsolete; use for file purposes only.

DD Form 741
Eye Consultation.

DD Form 771
Eyewear Prescription.

DD Form 2215
Reference Audiogram.

DD Form 2216
Hearing Conservation Data.

Correspondence on hearing aids.

DA Form 5931
Occupational Health Patient Form. (Optional in CEMR.)

DA Form 3365
Authorization for Medical Warning Tag.

DA Form 4254-R
Request for Private Medical Information.

DA Form 4876-R
Request and Release of Medical Information to Communications Media.

DA Form 5006-R
Authorization for Disclosure of Information.

Correspondence on release of medical information.

Other administrative documents important enough to keep on file, including advance directives (durable power of attorney for health care, living will, etc.).

Medical documents from civilian sources.

DA Form 4410-R¹

Disclosure Accounting Record. The DA Form 4410-R is printed on the folder. The separate form is obsolete; use for file purposes only.

RIGHT SIDE OF FOLDER

DA Form 4515

Personnel Reliability Program Record Identifier.

Interfile the next seven forms in reverse chronological order--most recent visit on top:

SF 600¹

Chronological Record of Medical Care.

DA Form 5008-R

Telephone Medical Advice Consultation Record. Attach to SF 600 in chronological order.

SF 558

Emergency Care and Treatment Record. Interfile with SFs 600 in chronological order.

SF 513; DD 2161

Medical Record--Consultation Sheet; Referral for Civilian Medical Care.

Other SF 500 series not in table. File in numerical sequence with like form numbers together in reverse chronological order.

DA Form 4700

Medical Record--Supplemental Medical Data. When DA Form 4700 is used, it should be referenced on SF 600. Undersized reports should be mounted on DA Form 4700 display sheets and filed with reports to which they most closely relate.

SF 88

Report of Medical Examination.

SF 78

U.S. Civil Service Commission, Certificate of Medical Examination.

DA Form 3437

Nonappropriated Fund Certificate of Medical Examination.

SF 93¹

Report of Medical History.

Any other medical history form.

DA Form AAAA-1

Occupational, Family and Personal Health History, Part I-- Initial History.

DA Form AAAA-2

Occupational, Family and Personal Health History, Part II-- Periodic Update.

AEHA Form 281-E, 1 Nov 87 (TEST)
Occupational Health Summary.

DOL Form CA-1
Federal Employee's Notice of Traumatic Injury and Claim for Continuation of
Pay/Compensation.

DOL Form CA-2
Federal Employee's Notice of Occupational Disease and Claim for Compensation.

DOL Form CA-16
Authorization for Examination and/or Treatment.

DOL Form CA-17
Duty Status Report.

DOL Form CA-20
Attending Physicians Report.

DOL Form CA-20a
Attending Physicians Supplemental Report.

DD Form 2005¹
Privacy Act Statement (always bottom form). This form must be in CEMR as CEMR
must be retired or transferred in SF 66D folder. (See FPM Supplement 293-31.)

Notes:

¹ This form must be included in all health records.